



INFORMATION DISCLOSURE CITATION IN AN APPLICATION		Docket Number 089070-0311376	Application Number 09/982,838
		Applicant(s) Joseph G. GATTO	
		Filing Date October 22, 2001	Group Art Unit 3624

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER N. Sub DATE CONSIDERED 9/15/06
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.


**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

Form PTO-1449

Docket Number	Application Number
23449-020	09/982,838
Applicant(s)	
Joseph G. GATTO	
Filing Date	Group Art Unit
October 22, 2001	3624

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES	Translations NO
N/A	1A	2000090150A	03/31/2000	JAPAN				
N/A	1B	WO 01/80124 A2	10/25/2001	International				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

N/A	1C	BROWN et al., "Composite Analyst Earnings Forecasts: The Next Generation", <u>Journal of Business Forecasting</u> , Summer 1990, Vol. 9, Issue 2.
↑	1D	HO et al., "Market Reactions to Messages from Brokerage Ratings Systems", <u>Financial Analysts Journal</u> , February 1998, Vol. 54, Issue 1.
	1E	LAMONICA, "The Best and Worst: Bloomberg's Second Annual Analysts Survey, and the Top Analysts Top Picks", <u>Financial World</u> , 30 January 1996, Vol. 165, Issue 2.
	1F	http://interactive.wsj.com/public/current/summaries/best00.htm (1/5/01)
	1G	http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm (1/5/01)
	1H	http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm (1/5/01)
	1I	http://interactive.wsj.com/public/current/articles/SB963945748117361937.htm (1/5/01)
	1J	http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm (1/5/01)
	1K	http://interactive.wsj.com/public/current/articles/SB963945615772798263.htm (1/5/01)
	1L	HERZBERG et al., "Enhancing Earnings Predictability Using Individual Analyst Forecasts", <u>The Journal of Investing</u> , Summer 1999.
	1M	Charles Schwab: Schwab Introduces Analytics Funds; Utilizes Quantitative Techniques to Seek Above-Market Returns.
	1N	MOZES et al., "Modeling Earnings Expectations Based on Clusters of Analyst Forecasts", <u>The Journal of Investing</u> , Spring 1999.
	1O	https://www.investars.com/home.asp , printed 3/26/01, 5 pages.
	1P	"IB/E/S Active Express", IB/E/S International Inc., 1999, 2 pages.
	1Q	Lawrence D. BROWN et al., "The Superiority of Analyst Forecasts as Measures of Expectations: Evidence from Earnings", <u>The Journal of Finance</u> , Vol. XXXIII, No. 1, March 1978, pages 1-16.
	1R	Lawrence D. BROWN et al., "The Predictive Value of Interim Reports for Improving Forecasts of Future Quarterly Earnings", <u>The Accounting Review</u> , Vol. LIV, No. 3, July 1979, pages 585-591.
	1S	Lawrence D. BROWN, "Analyst Forecasting Errors and Their Implications for Security Analysis: An Alternative Perspective", <u>Financial Analysts Journal</u> , January-February 1996, pages 40-47.
↓	1T	Lawrence D. BROWN et al., "Analysts can Forecast Accurately!", <u>The Journal of Portfolio Management</u> , Spring 1980, pages 31-34.
N/A	1U	L. D. BROWN et al., "Perspectives on Forecasting Research in Accounting and Finance", <u>Journal of Forecasting</u> , Vol. 2, 1983, pages 325-330.

EXAMINER	DATE: CONSIDERED
<u>N. Sub</u>	<u>9/15/06</u>
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEF Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant	

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449		Docket Number	Application Number
		23449-020	09/982,838
		Applicant(s)	
		Joseph G. GATTO	
		Filing Date	Group Art Unit
		October 22, 2001	3624

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

N.J	2A	Robert E. HOSKIN et al., "Evidence on the Incremental Information Content of Additional Firm Disclosures Made Concurrently with Earnings", <u>Journal of Accounting Research</u> , Vol. 24 Supplement 1986, pages 1-32.
↑	2B	Lawrence D. BROWN, "Earnings Surprise Research: Synthesis and Perspectives", <u>Financial Analysts Journal</u> , March/April 1997, pages 13-19.
	2C	Charles M. C. LEE et al., "What is the Intrinsic Value of the Dow?", <u>The Journal of Finance</u> , Vol. LIV, No. 5, October 1999, pages 1693-1741.
	2D	Charles M. C. LEE, "Market Integration and Price Execution for NYSE-Listed Securities", <u>The Journal of Finance</u> , Vol. XLVIII, No. 3, July 1993, pages 1009-1038.
	2E	Charles M. C. LEE et al., "Volume, Volatility, and New York Stock Exchange Trading Halts", <u>The Journal of Finance</u> , Vol. XLIX, No. 1, March 1994, pages 183-214.
	2F	Navin CHOPRA et al., "Summing Up", <u>The Journal of Finance</u> , Vol. XLVIII, No. 2, June 1993, pages 811-812.
	2G	Navin CHOPRA et al., "Yes, Discounts on Closed-End Funds are a Sentiment Index", <u>The Journal of Finance</u> , Vol. XLVIII, No. 2, June 1993, pages 801-808.
	2H	Charles M. C. LEE et al., "Spreads, Depths, and the Impact of Earnings Information: An Intraday Analysis", <u>The Review of Financial Studies</u> , Vol. 6, No. 2, 1993, pages 345-374.
	2I	Sati P. BANDYOPADHYAY et al., "Analysts' Use of Earnings Forecasts in Predicting Stock Returns: Forecast Horizon Effects", <u>International Journal of Forecasting</u> , Vol. 11, No. 3, 1995, pages 429-445.
	2J	Lawrence D. BROWN, "Influential Accounting Articles, Individuals, Ph.D. Granting Institutions and Faculties: A Citation Analysis", <u>Accounting, Organizations and Society</u> , Vol. 21, No. 7/8, October/November 1996, pages 723-754.
	2K	Lawrence D. BROWN et al., "Security Analyst Superiority Relative to Univariate Time-Series Models in Forecasting Quarterly Earnings", <u>Journal of Accounting and Economics</u> , Vol. 9, 1987, pages 61-87.
↓	2L	Lawrence D. BROWN et al., "An Evaluation of Alternative Proxies for the Market's Assessment of Unexpected Earnings", <u>Journal of Accounting and Economics</u> , Vol. 9, 1987, pages 159-193.
N.J	2M	Lawrence D. BROWN et al., "The Impact of Annual Earnings Announcements on Convergence of Beliefs", <u>The Accounting Review</u> , Vol. 67, No. 4, October 1992, pages 862-875.

EXAMINER	DATE CONSIDERED
<u>N.Jub</u>	<u>9/15/06</u>
EXAMINER Initial if citation considered. Whether or not citation is in conformance with MPEF Section 609: Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

INFORMATION DISCLOSURE CITATION IN AN APPLICATION		Docket Number 23449-020	Application Number 09/982,838
		Applicant(s) Joseph G. GATTO	
		Filing Date October 22, 2001	Group Art Unit 3624
Form PTO-1449			

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

N.J	3A	Lawrence D. BROWN, "Analyst Forecasting Errors: Additional Evidence", <u>Financial Analysts Journal</u> , November/December 1997, pages 81-88.
↑	3B	Praveen SINHA et al., "A Re-Examination of Financial Analysts Differential Earnings Forecast Accuracy", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 14, No. 1, Spring 1997, pages 1-42.
	3C	Leonard C. SOFFER et al., "Post-Earnings Announcement Drift and the Dissemination of Predictable Information", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 305-331.
	3D	Jacob K. THOMAS, "Discussion of 'Post-Earnings Announcement Drift and the Dissemination of Predictable Information', <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 333-340.
	3E	Lawrence D. BROWN, "Comment on 'Post-Earnings Announcement Drift and the Dissemination of Predictable Information'", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 341-345.
	3F	Lawrence D. BROWN et al., "Univariate Time-Series Models of Quarterly Accounting Earnings per Share: A Proposed Model", <u>Journal of Accounting Research</u> , Vol. 17, No. 1, Spring 1979, pages 179-189.
	3G	Lawrence D. BROWN, "Earnings Forecasting Research: Its Implications for Capital Markets Research", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 295-320.
	3H	J. O'HANLON, "Commentary on: Lawrence D. Brown 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 321-323.
	3I	Jacob K. THOMAS, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 325-330.
↓	3J	Philip BROWN, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 331-335.
N.J	3K	Mark E. ZMIJEWSKI, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research' by L. Brown", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 337-342.

EXAMINER:	DATE: CONSIDERED
<u>N. Sub</u> 9/15/06	
EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEF Section 605. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449		Docket Number	Application Number				
		23449-020	09/982,838				
		Applicant(s)					
		Joseph G. GATTO					
		Filing Date	Group Art Unit				
		October 22, 2001	3624				
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
FOREIGN PATENT DOCUMENTS							
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
N.J	4A	Lawrence D. BROWN, "Reply to Commentaries on "Earnings Forecasting Research: Its Implications for Capital Markets Research", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 343-344.					
A	4B	Lawrence D. BROWN, "A Test of the Reliability of Current Cost Disclosures", <u>ABACUS - A Journal of Accounting, Finance and Business Studies</u> , Vol. 30, No. 1, March 1994, pages 2-17.					
	4C	Lawrence D. BROWN, "The Impact of Announcement Timing on the Informativeness of Earnings and Dividends", <u>Journal of Accounting, Auditing & Finance</u> , Vol. 9, No. 4, Fall 1994, pages 653-674.					
	4D	Lawrence D. BROWN et al., "The Familiarity with and Perceived Quality of Accounting Journals: Views of Senior Accounting Faculty in Leading U.S. MBA Programs", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 11, No. 1-I, Summer 1994, pages 223-250.					
	4E	Adrian P. FITZSIMONS, et al., "Harmonizing GAAP Differences Among the NAFTA Countries", <u>The CPA Journal</u> , May 1995, pages 43-44.					
	4F	Lawrence D. BROWN, "Book Review of M. Metcalf's 1995 <u>Forecasting Profit</u> ", <u>International Journal of Forecasting</u> , Vol. 12, No. 1, 1996, pages 176-177.					
	4G	Lawrence D. BROWN et al., "An Information Interpretation of Financial Analyst Superiority in Forecasting Earnings", <u>Journal of Accounting Review</u> , Vol. 25, No. 1, Spring 1997, pages 49-67.					
	4H	Lawrence D. BROWN, "Forecast Selection When All Forecasts are not Equally Recent", <u>International Journal of Forecasting</u> , Vol. 7, No. 3, 1991, pages 349-356.					
	4I	Lawrence D. BROWN et al., "Capsules and Comments", <u>Journal of Accounting Research</u> , Vol. 29, No. 2, Autumn 1991, pages 382-385.					
	4J	Lawrence D. BROWN et al., "Applying Citation Analysis to Evaluate the Research Contributions of Accounting Faculty and Doctoral Programs", <u>The Accounting Review</u> , Vol. LX, No. 2, April 1985, pages 262-277.					
V	4K	Lawrence D. BROWN, "Can ESP Yield Abnormal Returns?", <u>The Journal of Portfolio Management</u> , Vol. 23, No. 4, Summer 1997, pages 36-43.					
N.A	4L	Lawrence D. BROWN et al., "Do Stock Prices Fully Reflect the Implications of Current Earnings for Future Earnings for AR/ Firms?", <u>Journal of Accounting Research</u> , Vol. 38, No. 1, Spring 2000, pages 149-164.					

EXAMINER	<i>N. Lub</i>	DATE CONSIDERED	<i>9/15/06</i>
EXAMINER Initial if citation considered. Whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant			

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449		Docket Number	Application Number				
		23449-020	09/982,838				
		Applicant(s)					
		Joseph G. GATTO					
		Filing Date	Group Art Unit				
		October 22, 2001	3624				
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
FOREIGN PATENT DOCUMENTS							
REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
						YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
N.J	5A	Lawrence D. BROWN et al., "The Association Between Nonearnings Disclosures by Small Firms and Positive Abnormal Returns", <u>The Accounting Review</u> , Vol. 68, No. 3, July 1993, pages 668-680.					
	5B	Lawrence D. BROWN et al., "Adaptive Expectations, Time-Series Models, and Analysis Forecast Revision", <u>Journal of Accounting Research</u> , Vol. 17, No. 2, Autumn 1979, pages 341-351.					
	5C	Lawrence D. BROWN et al., "Does the FASB Listen to Corporations?", <u>Journal of Business Finance & Accounting</u> , Vol. 19, No. 5, September 1992, pages 715-731.					
	5D	Lawrence D. BROWN et al., "Using Citation Analysis to Assess the Impact of Journals and Articles on Contemporary Accounting Research (CAR)", <u>Journal of Accounting Research</u> , Vol. 23, No. 1, Spring 1985, pages 84-109.					
	5E	Kaushik I. AMIN et al., "Option Trading, Price Discovery, and Earnings News Dissemination", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 14, No. 2, Summer 1997, pages 153-192.					
	5F	Charles M. C. LEE et al., "Investor Sentiment and the Closed-End Fund Puzzle", <u>The Journal of Finance</u> , Vol. XLVI, No. 1, March 1991, pages 75-109.					
	5G	Carolyn M. CALLAHAN et al., "Accounting Information and Bid-Ask Spreads", <u>Accounting Horizons</u> , Vol. 11, No. 4, December 1997, pages 50-60.					
	5H	Charles M. C. LEE, "Accounting-Based Valuation: Impact on Business Practices and Research", <u>Accounting Horizons</u> , Vol. 13, No. 4, December 1999, pages 413-425.					
	5I	Richard FRANKEL et al., "Accounting Valuation, Market Expectation, and Cross-Sectional Stock Returns", <u>Journal of Accounting and Economics</u> , Vol. 25, No. 3, June 1998, pages 283-319.					
	5J	Ronald KING et al., "Corporate Disclosure and Price Discovery Associated with NYSE Temporary Trading Halts", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 8, No. 2, Spring 1992, pages 509-531.					
	5K	Charles M. C. LEE, "Discussion of 'Corporate Disclosure and Price Discovery Associated with NYSE Temporary Trading Halts'", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 8, No. 2, Spring 1992, pages 532-539.					
V	5L	Charles M. C. LEE, "Measuring Wealth", <u>CA Magazine</u> , April 1996, pages 32-37.					
N.J	5M	Charles M. C. LEE et al., "Inferring Trade Direction from Intraday Data", <u>The Journal of Finance</u> , Vol. XLVI, No. 2, June 1991, pages 733-746.					

EXAMINER	DATE CONSIDERED
N. J. sub	9/15/06
EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEP Section 609. Draw a line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449		Docket Number	Application Number				
		23449-020	09/982,838				
		Applicant(s)					
		Joseph G. GATTO					
		Filing Date	Group Art Unit				
		October 22, 2001	3624				
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
FOREIGN PATENT DOCUMENTS							
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
N.J.	6A	Charles M. C. LEE et al., "Price Momentum and Trading Volume", <u>The Journal of Finance</u> , Vol. LV, No. 5, October 2000, pages 2017-2069.					
	6B	Charles M. C. LEE et al., "Valuing the Dow: A Bottom-Up Approach", <u>Financial Analysts Journal</u> , Vol. 55, No. 5, September/October 1999, pages 4-23.					
	6C	Charles M. C. LEE, "Earnings News and Small Traders", <u>Journal of Accounting and Economics</u> , Vol. 15, No. 2/3, June/September 1992, pages 265-302.					
	6D	Terry D. WARFIELD et al., "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Accounting for Transfers and Servicing of Financial Assets and Extinguishment of Liabilities", <u>Accounting Horizons</u> , Vol. 10, No. 3, September 1996, pages 178-181.					
	6E	Terry D. WARFIELD et al., "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Accounting for Certain Liabilities Related to Closure or Removal of Long-Lived Assets", <u>Accounting Horizons</u> , Vol. 10, No. 4, December 1996, pages 137-141.					
	6F	Terry D. WARFIELD et al., "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Consolidated Financial Statements: Policy and Procedures", <u>Accounting Horizons</u> , Vol. 10, No. 3, September 1996, pages 182-185.					
	6G	Lawrence D. BROWN et al., "Profiting from Predicting Earnings Surprise", <u>The Journal of Financial Statement Analysis</u> , Winter 1998, pages 57-66.					
	6H	Martin M. HERZBERG et al., "Enhancing Earnings Predictability Using Individual Analyst Forecasts", <u>The Journal of Investing</u> , Summer 1999, pages 15-24.					
	6I	Susan D. KRISCHE et al., "The Information Content of Analyst Stock Recommendations", First Draft: August 8, 2000, Current Draft: September 25, 2000, 40 pages.					
	6J	www.findarticles.com/m4PRN/1999 Oct 14/56284107/pl/article.html , printed February 5, 2001, 2 pages.					
	6K	http://my.zacks.com/?ALERT=www.zacks.com , printed February 2, 2001, 6 pages.					
	6L	http://www.cianet.com/ , printed February 5, 2001, 14 pages.					
	6M	http://www.factset.com/ , printed February 5, 2001, 10 pages.					
	6N	http://www.iexchange.com/ , printed February 5, 2001, 50 pages.					
	6O	http://www.valididea.com/home/home.asp , printed February 5, 2001, 26 pages.					
N.J.	6P	http://www.bulldogresearch.com/default.asp , printed February 5, 2001, 26 pages.					
EXAMINER						DATE CONSIDERED	
<i>N. J. Lub</i>							<i>9/15/06</i>
EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEF Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant							

EXAMINER N. Sub DATE CONSIDERED 9/15/06
EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEF Section 608; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant